

DEPARTMENT OF DEFENSE
CIVILIAN PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL

EMPLOYEE NAME: Patterson, Robin W <i>(Last, First, Middle Initial)</i>	DoD ID NUMBER: (b) (6)	APPRAISAL YEAR (YYYY): 2018
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PRIVACY ACT STATEMENT

AUTHORITY: 5 U.S.C. 43, Performance Appraisal; 5 CFR 430.205, Agency Performance Appraisals; 10 U.S.C. 136, Under Secretary of Defense for Personnel and Readiness; and DoDI 1400.25, Volume 431, DoD Civilian Personnel Management System: Performance Management and Appraisal Program; and DoDI 1400.25, Volume 1100, Civilian Human Resources Management Information Technology Portfolio.

PRINCIPAL PURPOSE(S): To document performance elements, associated performance standards, progress review(s) and ratings of record.

ROUTINE USE(S): Applicable Blanket Routine Use(s) are: Law Enforcement Routine Use, Disclosure When Requesting Information Routine Use, Disclosure of Requested Information Routine Use, Congressional Inquiries Routine Use, Disclosure to the Office of Personnel Management Routine Use, Disclosure to the Department of Justice for Litigation Routine Use, Disclosure of Information to the National Archives and Records Administration Routine Use, Disclosure to the Merit Systems Protection Board Routine Use, and Data Breach Remediation Purposes Routine Use. The DoD Blanket Routine Uses set forth at the beginning of the Office of the Secretary of Defense (OSD) compilation of systems of records notices may apply to this system. The complete list of DoD Blanket Routine Uses can be found online at:

<http://dpcl.d.defense.gov/Privacy/SORNsIndex/BlanketRoutineUses.aspx>.

The applicable system of records notice is DPR 34 DoD, Defense Civilian Personnel Data System, located at:

<http://dpcl.d.defense.gov/Privacy/SORNsIndex/DODwideSORNArticleView/tabid/6797/Article/570697/dpr-34-dod.aspx>.

DISCLOSURE: Voluntary; however, if you are unable or unwilling to complete the administrative portion, your supervisor will complete it to ensure performance review is linked to individual performance, recognition, and awards.

INSTRUCTIONS FOR COMPLETING THE CIVILIAN PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL

Cover Sheet (Page 1): Enter the employee's full name, DoD ID number, and the current appraisal year. *(Completed by employee or Rating Official/Supervisor.)*

PART A - Administrative Data. *(Completed by employee and/or Rating Official/Supervisor.)*

1. Appraisal Period: a. Enter the rating start date of the appraisal cycle. b. Enter the end date of the appraisal cycle. c. Enter the Effective Date of the Rating of Record. NOTE: The DoD Performance Management and Appraisal Program cycle is April 1 - March 31 with effective date June 1. The minimum evaluation period is 90 calendar days.
2. Employee Name: Enter the name of the employee (last, first, middle initial).
3. DoD ID Number: Number found on the back of Common Access Card (NOTE: Do not enter SSN).
4. Position Title and Position Description Number: Enter the official position title and official position description number found in block 15 of SF-50.
5. Pay Plan/Occupational Code/Grade/Step: Enter the employee's pay plan, occupational code (series), grade, and step as of the date the performance plan is established. May be found in blocks 16, 17, 18 and 19 of SF-50.
6. Organization: Enter the name of the employee's organization.
7. Duty Station: Enter the duty station found in block 39 of SF-50.

PART B - Acknowledgement of Performance Discussions. *(Completed by employee, Rating Official/Supervisor and Higher Level Reviewer in accordance with DoDI 1400.25 Volume 431 and local policy.)*

Enter full name, signature and date of acknowledgement by employee, rating official/supervisor and higher level reviewer as appropriate to document the communication of performance plan(s), progress review(s), modification(s) and rating(s) of record. If modification(s) to the performance elements and standards are required, enter date modification occurred.

PART C - DoD Core Values and Organizational Goals. *(Completed by Rating Official/Supervisor and discussed with employee.)*

DoD Core Values of Leadership, Professionalism, and Technical Knowledge. DoD Core Values and Component/Organization goals and mission statements will be discussed with employees and annotated on all performance plans in accordance with DoDI 1400.25, Volume 431.

PART D - Performance Element and Standards. *(Completed by the employee and Rating Official/Supervisor.)*

NOTE: Use the "Duplicate" button at the top of the page to duplicate this page for each element developed.

1. Total Number of Elements. Enter the total number of elements.
2. Element Number. Enter the corresponding number to the element against which the employee is being evaluated.
3. Element Title. Enter the title of the element.
4. Effective Date. Enter date the element was approved (whether initial establishment or newly modified - whichever is more recent).
5. Element and Standard(s). Write elements and associated standards that are clearly aligned with the organization's mission.
6. Employee Input (optional). Employees are encouraged to provide a written account of their accomplishments related to each element and associated standards provided in their performance plan. For example, the employee may describe how their contributions enabled mission accomplishment.
7. Performance Element Narrative. Supervisors are required to justify performance element ratings of "Outstanding" or "Unacceptable" with a narrative. A narrative is highly encouraged for "Fully Successful" element ratings. The performance narrative must address the employee's performance against the specific element. Employees are not given a performance narrative or performance elements ratings on progress reviews in accordance with DoDI 1400.25, Volume 431.
8. Element Rating. Mark (X) a rating for each element (5, 3, 1, or NR (Not Rated)).

NOTE: Review employee position descriptions to ensure they are relevant.

PART E - Performance Rating Summary. *(Completed by Rating Official/Supervisor.)* See below for column usage.

Element Number - From Part D block 2., number of the element(s) for which the employee is being evaluated (10 elements maximum).

Element Title - Enter title of element (refer to Part D block 3).

Element Rating - Enter the rating for the element (5, 3, or 1) (refer to Part D block 8).

Summary Rating: Summary Rating is obtained by adding the values in the Element Rating column and dividing by the number of rated elements (round to the nearest tenth). Enter the result in Block A1.

Rating of Record: Use the Summary Rating in block A1 to determine the Rating of Record in Block A2. Compare the A1 value to the Summary Level Chart to obtain the Rating of Record.

NOTE: When a rating on any element is "1" - Unacceptable, the overall Rating of Record shall be "1" - Unacceptable, regardless of the Summary Rating. Higher Level Review is required in accordance with DoDI 1400.25, Volume 431.

Continuation Sheet. If additional space is needed for general information, progress reviews, or responses, use this page and duplicate as needed. Each continuation sheet and item being continued must be numbered.

**DEPARTMENT OF DEFENSE
CIVILIAN PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL**

PART A – ADMINISTRATIVE DATA
(To be completed by Employee or Rating Official/Supervisor)

1. APPRAISAL PERIOD	a. START DATE (YYYYMMDD) 20170401	b. END DATE (YYYYMMDD) 20180331	c. RATING OF RECORD EFFECTIVE DATE (YYYYMMDD) 20180601
2. EMPLOYEE NAME (Last, First, Middle Initial) Patterson, Robin W		3. DoD ID NUMBER (b) (6)	
4. POSITION TITLE AND POSITION DESCRIPTION NUMBER SUPV MANAGEMENT ANALYST		5. PAY PLAN/OCCUPATIONAL CODE/GRADE/STEP GS/0343/15/05	
6. ORGANIZATION IMMEDIATE OFC OF CHIEF OF NVL OPS NV1147039 01		7. DUTY STATION WASHINGTON NAVY YARD / DISTRICT OF COLUMBIA / DISTRICT	

PART B – ACKNOWLEDGEMENT OF PERFORMANCE DISCUSSION
(Completed by Employee, Rating Official/Supervisor, and Higher Level Reviewer (Manager) in accordance with DoDI 1400.25, Volume 431)

	PERFORMANCE PLAN/ VALUES DISCUSSION	PROGRESS REVIEW	MODIFICATIONS (If applicable)	RATING OF RECORD
EMPLOYEE: Signature:				
Date (YYYYMMDD)				
RATING OFFICIAL/ SUPERVISOR: Printed Name:	Sears, III, John A			
Signature:	John A Sears, III			
Date: (YYYYMMDD)	20170728			
Communication Method (face-to-face, telephone, other)	<input checked="" type="checkbox"/> Face-to-face <input type="checkbox"/> Telephone <input type="checkbox"/> Other:	<input type="checkbox"/> Face-to-face <input type="checkbox"/> Telephone <input type="checkbox"/> Other:	<input type="checkbox"/> Face-to-face <input type="checkbox"/> Telephone <input type="checkbox"/> Other:	<input type="checkbox"/> Face-to-face <input type="checkbox"/> Telephone <input type="checkbox"/> Other:
HIGHER LEVEL REVIEWER: Printed Name:	Sears, III, John A			
Signature:	John A Sears, III			
Date: (YYYYMMDD)	20170728			

MODIFICATION(S) TO PERFORMANCE ELEMENTS AND STANDARDS *(If applicable): (Limited to 2,000 characters)*

**DEPARTMENT OF DEFENSE
CIVILIAN PERFORMANCE PLAN, PROGRESS REVIEW(S), AND APPRAISAL**

EMPLOYEE NAME: Patterson, Robin W **DoD ID** (b) (6) **APPRAISAL** 2018
(Last, First, Middle Initial) **NUMBER:** **YEAR (YYYY):**

PART C - DoD CORE VALUES and ORGANIZATIONAL GOALS (Completed by Rating Official/Supervisor and discussed with employee.)
DoD Core Values of Leadership, Professionalism, and Technical Knowledge

DoD Core Values and Component/Organization goals and mission statements will be discussed with the employee and annotated on all performance plans in accordance with DoDI 1400.25, Volume 431. (Limited to 1,000 characters)

The mission of the Navy is to maintain, train and equip combat-ready Naval forces capable of winning wars, deterring aggression and maintaining freedom of the seas.
The OPNAV Mission statement is: Establish policies, provide sufficient resources, and ensure combat-ready Naval forces to enhance U.S. maritime capabilities through forward presence, power projection, deterrence, sea control, maritime security, and humanitarian assistance/disaster response.
The basis for DNS-3 success as an organization is founded in 6 principles: Teamwork, Professional Knowledge, Excellence, Personal Growth, Security, Integrity

PART D - PERFORMANCE ELEMENT AND STANDARDS (Completed by the employee and Rating Official/Supervisor.)

1. TOTAL NUMBER OF ELEMENTS (Max. 10 elements)	2. ELEMENT NUMBER	3. ELEMENT TITLE	4. EFFECTIVE DATE (YYYYMMDD)
6	1	Freedom of Information Act	20170720

5. ELEMENT AND STANDARD(S) (Limited to 1,500 Characters)

Serve as SECNAV/CNO Initial Denial Authority on associated FOIA requests. Serve as SECNAV and CNO SME on matters of execution and adjudication of FOIA IAW SECNAVINST 5720.42 and policy guidelines. Provide well researched replies to queries on FOIA policies. Prepare litigation products. Prepare replies to inquiries from stakeholders that represent the Navy position based on law, regulation and past Navy practice. Publish relevant and timely program guidance. Provide Navy FOIA community specific policy and practices including legislation, formulation and promulgation of DoD policy governing FOIA, judicial decisions, and Executive directives. Present Service specific concerns and requirements within prescribed deadlines. Develop/execute a plan to close the 10 oldest FOIA requests each FY. Execute the Navy High Viz Process. Maintain DON FOIA Website; providing resources to users. Fully Successful

- Delivered on this critical element with broad and significant impact that was in alignment with the mission and objective of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.
- Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.
- Demonstrated high standards of professional conduct and represented the organization or work unit effectively

6. EMPLOYEE INPUT (Optional) (Completed by Employee - Limited to 2,000 characters)

7. PERFORMANCE ELEMENT NARRATIVE (Completed by Rating Official - limited to 2,000 characters)

8. ELEMENT RATING (X one):

☐ 5 - OUTSTANDING (Requires justification) ☐ 3 - FULLY SUCCESSFUL ☐ 1 - UNACCEPTABLE (Requires justification) ☐ NR - NOT RATED

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1. TOTAL NUMBER OF ELEMENTS (Max. 10 elements)	2. ELEMENT NUMBER	3. ELEMENT TITLE	4. EFFECTIVE DATE (YYYYMMDD)
6	2	Privacy Act	20170720

5. ELEMENT AND STANDARD(S) (Limited to 1,500 Characters)

Serve as Component Privacy Officer and CNO SME for Privacy Act IAW SECNAVINST 5211.5 and other policy. Provide researched replies to queries on PA policies. Create, review, modify System of Records Notices (SORNs) on a 2 year lifecycle. Assist system owners drafting SORNs for new, significantly altered, and terminated systems of records. Review SORNs before Federal Register publication. Ensure they meet the PA requirements. Upon public review, address public comments/concerns. Work with Program Managers in creation, review, modification of Privacy Impact Assessments (PIAs) on a 3 year lifecycle. Verify systems collecting privacy information are within documented authority. Verify SORNs are adequately represented in the PIAs. Serve as DON Privacy Breach Response Team Member. Initiate/oversee PA complaint investigations, conduct interviews, gather evidence; provide adjudicated response.

Fully Successful

- Delivered on this critical element with broad and significant impact that was in alignment with the mission and objective of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.

- Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome

6. EMPLOYEE INPUT (Optional) (Completed by Employee and limited to 2,000 characters) Represented the organization or work unit effectively.

7. PERFORMANCE ELEMENT NARRATIVE (Completed by Rating Official - limited to 2,000 characters)

8. ELEMENT RATING (X one):

☐ 5 - OUTSTANDING
(Requires justification)

☐ 3 - FULLY SUCCESSFUL

☐ 1 - UNACCEPTABLE
(Requires justification)

☐ NR - NOT RATED

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1. TOTAL NUMBER OF ELEMENTS (Max. 10 elements)	2. ELEMENT NUMBER	3. ELEMENT TITLE	4. EFFECTIVE DATE (YYYYMMDD)
6	3	Classified Information	20170720

5. ELEMENT AND STANDARD(S) (Limited to 1,500 Characters)

Ensure classified information, material and documents held by the Branch is safeguarded, protected, and maintained by employees in accordance with established regulations, policies and in compliance with SECNAV 5510.36A. Ensure required certifications and trainings in the requirements for marking, handling, safeguarding and transmissions of classified information, is obtained and maintained up-to-date by employees. Ensure Protected Information Distribution Networks and Security containers are properly identified utilizing SF700 series forms and following safety and security instructions and protocols. Ensure established procedures for daily check of security containers and securing of areas designated for classified material processing are followed. Verify all new employees have undergone the proper personal investigation.
Fully Successful
- Delivered on this critical element with broad and significant impact that was in alignment with the mission and objective of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and overcoming significant obstacles.
- Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.
~~- Demonstrated high standards of professional conduct and represented the organization or work unit effectively~~

6. EMPLOYEE INPUT (Optional) (Completed by Employee - Limited to 2,000 characters)

7. PERFORMANCE ELEMENT NARRATIVE (Completed by Rating Official - limited to 2,000 characters)

8. ELEMENT RATING (X one):

☐ 5 - OUTSTANDING (Requires justification) ☐ 3 - FULLY SUCCESSFUL ☐ 1 - UNACCEPTABLE (Requires justification) ☐ NR - NOT RATED

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PART D - PERFORMANCE ELEMENT AND STANDARDS (Completed by the employee and Rating Official/Supervisor.)

1. TOTAL NUMBER OF ELEMENTS (Max. 10 elements)	2. ELEMENT NUMBER	3. ELEMENT TITLE	4. EFFECTIVE DATE (YYYYMMDD)
6	4	Supervisory Duties	20170720

5. ELEMENT AND STANDARD(S) (Limited to 1,500 Characters)

Perform all supervisory duties to include: 1. Ensure compliance with laws, regulations and policies including Merit System Principles and Prohibited Personnel Practices; 2. Attract and retain a high-caliber workforce and act in a responsible and timely manner on all steps in the recruitment and hiring process; 3. Provide opportunities for orientation and tools for enabling employees to successfully perform during the probationary period and beyond; 4. Identify current and future position requirements to ensure recruitment is appropriately focused and is timely; and 5. Complete all performance management tasks in a timely manner including clear communication of performance expectations throughout the appraisal period, hold employees accountable, make meaningful distinctions in performance and reward excellent performance, promote employee development and training, and promptly address performance and conduct.

Fully Successful:

- Achieved expected results by effectively carrying out established supervisory responsibilities.
- Supported use of Alternative Dispute Resolution to resolve conduct and performance concerns at the lowest level and early timeframe to ensure the workplace provided a harmonious climate.
- Instituted measures to foster productivity and safety.
- Provided timely performance feedback at a minimum of twice during the performance cycle; took appropriate

6. EMPLOYEE INPUT (Optional) (Completed by Employee - Limited to 2,000 characters) and/or unacceptable performance.

7. PERFORMANCE ELEMENT NARRATIVE (Completed by Rating Official - limited to 2,000 characters)

8. ELEMENT RATING (X one):

☐ 5 - OUTSTANDING (Requires justification) ☐ 3 - FULLY SUCCESSFUL ☐ 1 - UNACCEPTABLE (Requires justification) ☐ NR - NOT RATED

**DEPARTMENT OF DEFENSE
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PART D - PERFORMANCE ELEMENT AND STANDARDS (Completed by the employee and Rating Official/Supervisor.)

1. TOTAL NUMBER OF ELEMENTS (Max. 10 elements)	2. ELEMENT NUMBER	3. ELEMENT TITLE	4. EFFECTIVE DATE (YYYYMMDD)
6	5	High Performing Team	20170728

5. ELEMENT AND STANDARD(S) (Limited to 1,500 Characters)

Lead an aligned, engaged, and high performing team. Create a positive, safe work environment that allows employees to excel. Uphold high standards of integrity and ethical behavior. Ensure EEO principles are adhered to throughout the organization and promptly address allegations of discrimination, harassment, and retaliation. Act as a good steward of public funds. Maintain a safe work environment and promptly address allegations of noncompliance. Effectively develop and champion innovative ideas to improve the organization and create an environment that fosters innovation.

Fully Successful:

- Achieved expected results by effectively carrying out established supervisory responsibilities.
- Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.
- Supported use of Alternative Dispute Resolution to resolve conduct and performance concerns at the lowest level and early timeframe to ensure the workplace provided a harmonious climate.
- Instituted measures to foster productivity and safety.

6. EMPLOYEE INPUT (Optional) (Completed by Employee - Limited to 2,000 characters)

7. PERFORMANCE ELEMENT NARRATIVE (Completed by Rating Official - limited to 2,000 characters)

8. ELEMENT RATING (X one):

☐ 5 - OUTSTANDING (Requires justification) ☐ 3 - FULLY SUCCESSFUL ☐ 1 - UNACCEPTABLE (Requires justification) ☐ NR - NOT RATED

**DEPARTMENT OF DEFENSE
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PART D - PERFORMANCE ELEMENT AND STANDARDS (Completed by the employee and Rating Official/Supervisor.)

1. TOTAL NUMBER OF ELEMENTS (Max. 10 elements)	2. ELEMENT NUMBER	3. ELEMENT TITLE	4. EFFECTIVE DATE (YYYYMMDD)
6	6	Supervise the Organization	20170728

5. ELEMENT AND STANDARD(S) (Limited to 1,500 Characters)

Successfully supervise portfolio of assigned military, government civilian and contract personnel. Align and adjust personnel and resources to adapt to DNS-36 mission, functions, and tasks. Examine opportunities to increase organizational and program productivity, safety, and security and adopt them when practicable. Conduct workforce training as necessary to improve staff efficiency.
Fully Successful:
- Instituted measures to foster productivity and safety.

6. EMPLOYEE INPUT (Optional) (Completed by Employee - Limited to 2,000 characters)

7. PERFORMANCE ELEMENT NARRATIVE (Completed by Rating Official - limited to 2,000 characters)

8. ELEMENT RATING (X one):

☐ 5 - OUTSTANDING (Requires justification) ☐ 3 - FULLY SUCCESSFUL ☐ 1 - UNACCEPTABLE (Requires justification) ☐ NR - NOT RATED

DEPARTMENT OF DEFENSE CIVILIAN PERFORMANCE PLAN, PROGRESS REVIEW(S), AND APPRAISAL																			
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		APPRAISAL YEAR (YYYY): <u>2018</u>																	
PART E - PERFORMANCE RATING SUMMARY <i>(Completed by Rating Official/Supervisor - copy Part D blocks 2, 3, and 8.)</i>																			
a. ELEMENT NUMBER	b. ELEMENT TITLE	c. ELEMENT RATING (5, 3, or 1) <i>(X box if Not Rated)</i>																	
1			NR																
2			NR																
3			NR																
4			NR																
5			NR																
6			NR																
7			NR																
8			NR																
9			NR																
10			NR																
SUMMARY RATING: Obtain by adding the values in the Performance Element Rating column and dividing by the number of rated elements (round to the nearest tenth). Enter result in block A1.			A1																
RATING OF RECORD: Obtain by using the Summary Rating against the chart below to determine Summary Level.			A2																
<div style="border: 1px solid black; padding: 10px;"> <p>SUMMARY LEVEL CHART</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Range</th> <th style="width: 20%;">Summary Level</th> <th style="width: 15%;">Rating of Record</th> <th style="width: 50%;">Summary Level Rating Criteria</th> </tr> </thead> <tbody> <tr> <td>4.3 - 5.0</td> <td>Outstanding</td> <td style="text-align: center;">5</td> <td>The summary rating of all element ratings of 4.3 or greater results in a rating of record of "5" - Outstanding, with no element rated "1" - Unacceptable.</td> </tr> <tr> <td>3.0 - 4.2</td> <td>Fully Successful</td> <td style="text-align: center;">3</td> <td>The summary rating of all element ratings of between 4.2 and 3.0 results in a rating of record of "3" - Fully Successful, with no element rated "1" - Unacceptable.</td> </tr> <tr> <td>2.9 or lower</td> <td>Unacceptable</td> <td style="text-align: center;">1</td> <td>Any element rated as "1" - Unacceptable.</td> </tr> </tbody> </table> <p style="margin-top: 10px;">When a rating on any element is "1" - Unacceptable, the overall Rating of Record shall be "1" - Unacceptable, regardless of the Summary Rating.</p> </div>				Range	Summary Level	Rating of Record	Summary Level Rating Criteria	4.3 - 5.0	Outstanding	5	The summary rating of all element ratings of 4.3 or greater results in a rating of record of "5" - Outstanding, with no element rated "1" - Unacceptable.	3.0 - 4.2	Fully Successful	3	The summary rating of all element ratings of between 4.2 and 3.0 results in a rating of record of "3" - Fully Successful, with no element rated "1" - Unacceptable.	2.9 or lower	Unacceptable	1	Any element rated as "1" - Unacceptable.
Range	Summary Level	Rating of Record	Summary Level Rating Criteria																
4.3 - 5.0	Outstanding	5	The summary rating of all element ratings of 4.3 or greater results in a rating of record of "5" - Outstanding, with no element rated "1" - Unacceptable.																
3.0 - 4.2	Fully Successful	3	The summary rating of all element ratings of between 4.2 and 3.0 results in a rating of record of "3" - Fully Successful, with no element rated "1" - Unacceptable.																
2.9 or lower	Unacceptable	1	Any element rated as "1" - Unacceptable.																
Provide a copy of all pages to employee. Supervisor retains original copy of all pages for records.																			

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EMPLOYEE NAME: Patterson, Robin W
(Last, First, Middle Initial)

DoD ID
NUMBER: (b) (6)

APPRAISAL
YEAR (YYYY): 2018

CONTINUATION SHEET #

(If additional space is needed for general information, progress reviews, or responses, use this page and duplicate as needed.
Each continuation sheet and item being continued must be numbered.)